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Patent Application

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Wang et al. EXAMINER: Ehichioya, Fred I.
SERIAL NO.: 09/925,596 GROUP ART UNIT: 2172
FILED: August 9, 2001 DOCKET: YOR9-2001-0451US1
(8728-528)
FOR: **METHOD AND APPARATUS FOR AUTOMATICALLY
UPDATING STOCK AND MUTUAL FUND GRAMMARS IN
SPEECH RECOGNITION SYSTEMS**

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Commissioner for Patents
P.O. Box 1450
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Technology Center 2100

REQUEST FOR RECONSIDERATION

Sir:

In reply to the Office Action mailed January 15, 2004, reconsideration of the above-identified application is respectfully requested.

Claims 1-33 are pending. The Office Action rejects claims 1-33 under 35 U.S.C. § 103(a) over Buist (U.S. Patent No. 6,408,282) in view of Barr et al. (U.S. Patent No. 5,761,442). This rejection is respectfully traversed.

Buist, alone or in combination with Barr, does not disclose or suggest a method for automatically updating stock and mutual fund grammars in a speech recognition system including, inter alia, automatically updating, on a pre-specified basis, a database

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Dated: 4/14/04


Benjamin M. Halpern

having a plurality of entries, each entry respectively comprising at least one name of the publicly traded stock or publicly traded fund, and baseforms of the at least one name, and automatically updating a grammar file for names in the database, the grammar file including the names and weights for the names, as recited in claim 1. Similarly, Buist, alone or in combination with Barr, does not disclose or suggest an apparatus for automatically updating stock and mutual fund grammars in a speech recognition system including, inter alia, a database update device for automatically updating, on a pre-specified basis, a database having a plurality of entries, each entry respectively comprising at least one name of the publicly traded stock or publicly traded fund, and baseforms of the at least one name, and a grammar generator for automatically updating a grammar file for names in the database, the grammar file including the names and weights for the names, as recited in claim 22.

Buist simply does not disclose or even suggest a method or apparatus that relates to a speech recognition system. Instead, Buist discloses a system for conducting securities transactions over a computer network in which a user submits a sell order to a server and database of the user's broker/dealer after the user views the stock's order book display. See column 9, line 42 – column 10, line 6 of Buist. If the broker/dealer approves the offer, the order book displays for other users that are listed as subscribers to the order book are updated with the user's offer. See column 10, lines 7-25 of Buist. Updated stock information and the order book display are displayed to the user through a graphical user interface. See Fig. 5 and column 11, lines 15-28 of Buist. A user interacts with the system of Buist by typing in appropriate information or by selecting a button. For example, a user selects a stock of interest by typing the stock symbol into an

appropriate display. See column 9, lines 42-43 of Buist. Thus, Buist is not concerned with any type of speech recognition system, particularly a speech recognition system in which baseforms of at least one name of a publicly traded stock or fund are maintained in a database. In fact, Buist does not at all mention the use of baseforms or an updated grammar file for a speech recognition system. As a point of clarification, the term “baseforms” as used in the art of speech recognition relates to phonetic pronunciations, such as those presented in the example at page 15 of the present application.

Regarding claim 13, Buist in view of Barr does not disclose or suggest a method for automatically updating stock and mutual fund grammars in a speech recognition system including, inter alia, constructing a database having a plurality of entries, each entry respectively including at least one name of the publicly traded stock or publicly traded fund, and baseforms of the at least one name, generating a grammar file for names in the database, automatically updating the database, including adding new entries for newly listed stocks and newly listed funds and removing any of the plurality of entries corresponding to newly unlisted stocks and newly unlisted funds, and automatically updating the grammar file with respect to the newly listed stock names and the newly listed fund names.

As mentioned above, a user interacts with the system of Buist by typing in appropriate information or by selecting a button. Buist is not concerned with any type of speech recognition system, particularly a speech recognition system in which baseforms of at least one name of a publicly traded stock or fund are maintained in a database. The Office Action appears to suggest that column 10, lines 53-54 of Buist discloses automatically updating the database, including adding new entries for newly listed stocks

and newly listed funds and removing any of the plurality of entries corresponding to newly unlisted stocks and newly unlisted funds. However, this section of Buist discloses removing an accepted offer to sell from an order book. In Buist, order books relate to a single selected stock or fund, and do not provide information regarding other stocks or funds that have been newly listed or unlisted. See, for example, column 6, lines 40-42 of Buist.

Barr does not make up for the deficiencies of Buist. Barr discloses the use of a set of trained neural networks to select securities and construct an investment portfolio, and is not concerned with any type of voice recognition system. Thus, even combining Barr with Buist would not result in the claimed invention.

For at least these reasons, it is respectfully submitted that claims 1, 13 and 22 are patentable over the applied references. Claims 2-12, 14-21 and 23-33, which depend on claims 1, 13 and 22, respectively, are also patentable over the applied references for at least the reasons discussed as well as for the additional features they recite. For example, regarding claim 7, neither Buist nor Barr disclose the steps of automatically combining short words in the database to form combined words, short words being a stock name or a fund name that has less than a predefined number of phonemes, automatically generating the baseforms for the combined words, and updating the grammar file to include the combined words. The Office Action appears to suggest that Fig. 51 and column 34, lines 40-65 of Buist disclose these features. However, these sections of Buist merely discuss a "Quick Quote" display in which a user can type in the name of a company and hit a "Find symbol" button, and if the company name is not a perfect match with one listed in the master database of the system, the user can scroll through a list of companies that closely

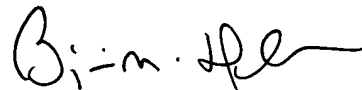
match what the user has typed. This does not suggest automatically combining short words in the database to form combined words, short words being a stock name or a fund name that has less than a predefined number of phonemes. In fact, nowhere in the disclosure of Buist is mentioned or suggested the use of phonemes. Applicants respectfully request that the rejections under 35 U.S.C. § 103(a) be withdrawn.

The Examiner is requested to contact the undersigned should anything further be necessary to place the application in even better condition for allowance.

Respectfully submitted,

Date: _____

4/14/04



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